



ALEX PADILLA | SECRETARY OF STATE | STATE OF CALIFORNIA
ELECTIONS DIVISION

1500 11th Street, 5th Floor, Sacramento, CA 95814 | **Tel** 916.657.2166 | **Fax** 916.653.3214 | www.sos.ca.gov

May 4, 2018

County Clerk/Registrar of Voters (CC/ROV) Memorandum #18100

TO: All County Clerks/Registrars of Voters

FROM: /s/ Catherine Ingram-Kelly
VoteCal Program Manager

RE: VoteCal: Guidance Documents

As new functionality is added to the VoteCal system, the Secretary of State provides updated and/or new guidance documents to county users in order to provide counties with direction and processes to effectively use the VoteCal system. Listed below are the documents which are new or updated as of May 4, 2018:

- Jury Wheel Extract (new);
- Public Voter Registration Data Request (new);
- Report of Registration (updated); and
- Voter Information Guide Process (updated).

Please take the time to review these guidance documents as they will assist you with the VoteCal processes. These documents will also be posted on the VoteCal Communications Portal.

If you have any questions or need clarification regarding this CCROV or other VoteCal matters, please contact the VoteCal Help Desk at 888-868-3225 or via email at VoteCalHelp@sos.ca.gov.

Attachments



Guidance: Jury Wheel Extract

Issuance Date: May 4, 2018

Revision Date:

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Purpose/Background

VoteCal provides the capability for the Secretary of State and county elections officials to generate a jury wheel extract for California courts using the data from VoteCal. VoteCal generates the jury wheel extract via a random selection of records based on filtering criteria entered by the county. Jury wheel requests are tracked and maintained in VoteCal.

Guidance

VoteCal provides the means for a county to request a new jury wheel extract, as well as search for and view existing jury wheel requests. However, the Secretary of State (SOS) is not requiring counties to use VoteCal when creating a jury wheel extract. Counties may choose to generate a jury wheel extract utilizing the EMS. To request an extract through VoteCal, county users enter the request information into the local Election Management System (EMS), and the EMS sends the request to VoteCal for processing. A new jury wheel request includes details about the requestor, filtering criteria, and the record selection algorithm for calculating the list of voters.

The requestor information includes:

- Requestor name
- Requestor address
- Requestor contact information (including the requestor's email, phone number, and/or fax number)
- Date of request
- Date request received

The filtering criteria for inclusion or exclusion of voter registration data in the extract includes:

- County of residence
- City of residence
- Political district (such as, Congressional District, State Assembly District, or County Supervisorial District.)

The record selection algorithm identifies the voter record with which to start and the subsequent voter records to select thereafter (for example, starting with the 5th voter, select every 23rd voter in Municipality X).

Once a county user enters the request criteria, the EMS sends the request to VoteCal. VoteCal validates the request information, searches the active voter registration records based on the criteria supplied, and creates the file with the voter records returned from the search. VoteCal sends the message *Extract Files Generated* and the requested data as an extract file to the EMS.



Guidance: Jury Wheel Extract

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VoteCal also allows counties to search for and view existing jury wheel extract requests through the EMS. VoteCal allows the following search criteria:

- Requestor name
- Range of date of request (From/To)
- Request status
- Received at (A county can only look at jury wheel requests they requested. A county cannot view the jury wheel extracts or requests of other counties.)

For detailed instructions on requesting a new, or searching for an existing, jury wheel extract from VoteCal, refer to your EMS training materials or contact your EMS Help Desk.

VoteCal Contact Information

For questions or to report issues, contact the SOS VoteCal Help Desk at 888-868-3225 or by email at VoteCalHelp@sos.ca.gov.



Guidance: Public Voter Registration Data Request (PVRDR)

Issuance Date: May 4, 2018

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Background/Purpose

Authorized applicants may make a Public Voter Registration Data Request (PVRDR) to the Secretary of State (SOS) or the county elections official. Counties may choose to generate a PVRDR extract utilizing their Election Management System (EMS) or VoteCal. VoteCal provides counties with the ability to extract PVRDR records for voters that cross over county lines. However, only the Secretary of State can generate a statewide PVRDR extract. A county can also search and view its existing extract requests submitted as a VoteCal PVRDR.

Guidance

If county elections officials choose to generate a VoteCal PVRDR, the extract will include voter registration, participation history, political district, and precinct information using the data available from VoteCal. The extract along with the applicant information is maintained in VoteCal.

To request a VoteCal PVRDR extract, enter the requested information into the local EMS. The EMS will then send the request to VoteCal for processing. A VoteCal PVRDR includes the applicant information and the filtering criteria for the voters included in the extract.

The applicant information includes:

- County
- Applicant name
- Applicant identification and type of identification
- Applicant address
- Applicant contact information (email, phone number, fax number)
- Organization name
- Organization business address
- Organization business contact information (email, phone number, fax number)
- Basis for qualification and purpose or use of the data
- Payment information
- Information of the party the agent represents (if applicable)
- Date of application

The filtering criteria for voter registration data in the extract includes:

- County where the request was made
- City of residence
- Zip code



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- Precinct
- Political party
- Election
- Political district (such as, Congressional District, State Assembly District, and/or County Supervisorial District)
- Other (date of registration, date of birth, gender, voter status, language preferences, Cancelled/Inactive)
- Voter participation history

Once the user enters the VoteCal PVRDR criteria via the EMS, VoteCal validates the request information, searches the active voter registration records based on the criteria supplied, and creates the extract file with the voter records returned from the search. VoteCal sends the message *Extract Files Generated* and the requested data as an extract file to the county EMS.

The following is the search and view criteria for existing VoteCal PVRDR extracts:

- PVRDR ID
- Applicant name
- Applicant ID and ID type
- Organization name
- Application date
- Application status
- Range of date of request (From/To)
- Request status
- Received at (County can only look at PVRDR requests they requested. They cannot view other county's requests.)

For detailed instructions on requesting a VoteCal PVRDR or searching for an existing VoteCal PVRDR extract, refer to your EMS training materials or contact your EMS Help Desk.

VoteCal Contact Information

For questions or to report issues, contact the SOS VoteCal Help Desk at 1-888-868-3225 or by email at VoteCalHelp@sos.ca.gov.



Guidance: Report of Registration (ROR)

Issuance Date: September 6, 2016

Revision Date: May 4, 2018

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Background/Purpose

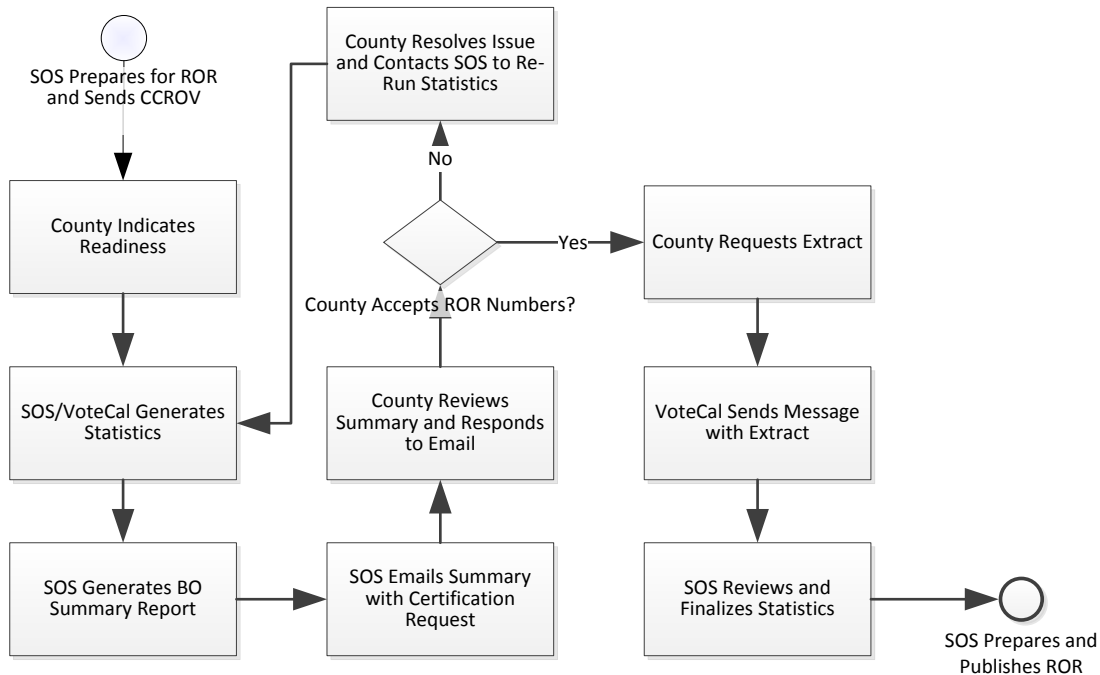
The Secretary of State (SOS) is responsible for generating the Report of Registration (ROR). The VoteCal ROR statistics include all **active** registered voters by district and party within each county as of the established ROR date. However, VoteCal does not include voters with a “pending-registration” status in the ROR. It is the responsibility of the counties to change 17-year-olds, who will be eligible to vote in an upcoming election, from “pending-underage” to “active” status. If you have questions about changing a 17-year-old’s status to active, contact your Election Management System (EMS) vendor for assistance.

Guidance

The ROR generation uses the county EMS and VoteCal. First, the SOS issues a CCROV to identify when readiness must be indicated by counties through VoteCal. Second, counties use their EMS to indicate readiness, generate a local report of registration, check status, and request statistics. Then, VoteCal generates the statistics. Fourth, the SOS sends counties a summary of the statistics for comparison with their local EMS-generated ROR. The counties will then validate these statistics and informs the SOS of their determination. SOS validates the statistics and then creates and publishes the ROR.

Figure 1: Report of Registration Process provides an overview of the ROR process.

Figure 1: Report of Registration Process





Guidance: Report of Registration (ROR)

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Table 1: Generating the ROR provides additional information on the activities that occur for the ROR process. County EMS vendors will provide detailed instructions on indicating readiness, requesting status of the ROR statistics, etc.

Note: For each step listed with “using (or use) the county EMS,” please refer to the EMS-specific documentation provided to counties by the EMSs for more details.

Table 1: Generating the ROR

Activity	Process
SOS Prepares for ROR	<p>Initial ROR setup is performed by the SOS. This includes establishing the ROR date and estimating the number of eligible voters for each county.</p> <ul style="list-style-type: none"> • Prior to the ROR due date, SOS will send out a CCROV to the counties with instructions for completing and submitting ROR Certification to the SOS. • SOS will run an ROR Precincts/Districts report and work with the county and EMS to resolve any discrepancies.
County Runs Sync Check	<p>A sync check, including the resolution of any differences, is required no more than thirty (30) days prior to any ROR. Your EMS will facilitate this process.</p>
County Indicates Readiness	<p>After the sync check is run, all differences have been resolved, and all new and updated voter registration information is entered using the county EMS, indicate readiness for the ROR. (Review corresponding EMS Guide for detailed instructions.)</p> <p>Next, generate and save your county EMS ROR report. Use this report to compare with the VoteCal statistics.</p> <p>Note: SOS recommends running the EMS ROR at the close of business on the ROR report date (for example, on E-60 or E-15.)</p> <p>VoteCal updates the county readiness status to “Entry Completed.”</p> <p>Potential error messages counties may receive:</p> <ul style="list-style-type: none"> • ROR date not found – received if the date entered does not match the established date in VoteCal • County readiness status already marked as entry completed – received if the county has previously sent county readiness status to VoteCal for the same ROR established date
SOS/VoteCal Generates Statistics	<p>SOS requests the ROR statistics from VoteCal.</p>
SOS Generates Report and Sends Email to County	<p>SOS creates a summary report of the ROR statistics and sends the county an email with the summary report and a request for certification of the ROR numbers.</p>



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Activity	Process
County Reviews Summary and Responds to Email	County compares the summary report provided by SOS with the EMS-generated ROR. If the county does not agree with the statistics, make corrections and respond to the email requesting SOS re-run the ROR statistics. Once the county accepts the numbers, respond to the email and include the Statement of Certification. SOS can re-generate the statistics, as needed, prior to finalizing the ROR.
County Checks Status and Requests Extract of ROR Statistics from VoteCal Note: This is optional; currently there is not a process for using the statistics at the county level	At any time after signaling readiness, counties have the option of checking status and requesting statistics. If SOS has not generated the statistics, counties will only receive the status. Using the county EMS, request an extract of the ROR statistics as described in the “County Indicates Readiness” step listed above. (For additional information, counties are encouraged to review the corresponding EMS Guide for detailed instructions) Potential error message counties may receive: <ul style="list-style-type: none">• ROR date not found – received if the date entered does not match the established ROR date in VoteCal After receiving the extract of statistics, contact your EMS if you need further instructions.
SOS Reviews and Finalizes the ROR	SOS reviews the ROR statistics for all 58 counties and verifies the estimate for the number of persons eligible to register to vote. SOS can re-generate statistics as needed prior to finalization. SOS finalizes the ROR. Finalizing the statistics allows the SOS to prepare for the ROR publication.
SOS Generates ROR	Once the statistics are finalized, SOS generates the reports from Business Objects, exports the data to Excel, and prepares the ROR for publication and posting to the SOS website.

VoteCal Contact Information

For questions or to report issues, contact the SOS VoteCal Help Desk at 888-868-3225 or by email at VoteCalHelp@sos.ca.gov.



Guidance: Voter Information Guide (VIG) Process

Issuance Date: September 6, 2016

Revision Date: May 4, 2018

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May 2018 Voter Information Guide (VIG) Notes:

Run a synchronization check and resolve the voter registration differences to the acceptable tolerance levels at least 30 days prior to generating any election extracts or lists. This is to ensure the most complete and accurate extracts and lists are generated.



Guidance: Voter Information Guide (VIG) Process

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With VoteCal, the Secretary of State (SOS) will continue generating the initial Voter Information Guide (VIG) mailing list extract at E-60 for all counties. An additional VIG mailing extract will also be run by SOS at E-29 for all counties. SOS mails VIGs to households with registered voters residing in California and counties mail VIGs to out-of-state voters, as well as voters with address corrections from the error file provided by SOS.

The initial VIG mailing list extract includes all active registered voters as of the configurable date (E-60) that have not opted out of receiving a VIG by mail. The additional VIG mailing includes all active registered voters who registered to vote between E-59 and E-29 and have not opted out of receiving a VIG through postal mail.

After E-50, counties can request additional VIG mailing list extracts from VoteCal using their EMS. Refer to your EMS documentation or contact your EMS vendor for additional information on generating additional VIG mailing list extracts.

For the initial VIG mailing, the SOS sends a CCROV with instructions to the counties and a readiness survey. The county signals readiness by returning the survey (via email) to the SOS. Once received, the SOS requests the VIG mailing list extract from VoteCal. The SOS Information Technology Division (ITD) team uses the extract from VoteCal to create four separate mailing lists:

- The out-of-state mailing file (also known as the “Foreign file”). This file is created for counties to mail VIGs to these registrants.
- An error file of records that failed address validation, but the registrants are registered to vote. This file is created because the county is responsible for mailing VIGs to these registrants, and so the county can correct the address validation errors.
- The cleansed file contains addresses SOS corrected and mailed. This file is sent to counties so that counties may correct these records in the county’s EMS to ensure SOS has no problems with these records in future mailings.
- The in-state mailing file is used by the SOS for in-state mailings. This file is not sent to the counties.



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Guidance

Figure 1: VIG Process depicts an overview of the process of generating a VIG mailing list extract and mailing the VIG.

Figure 1: VIG Process

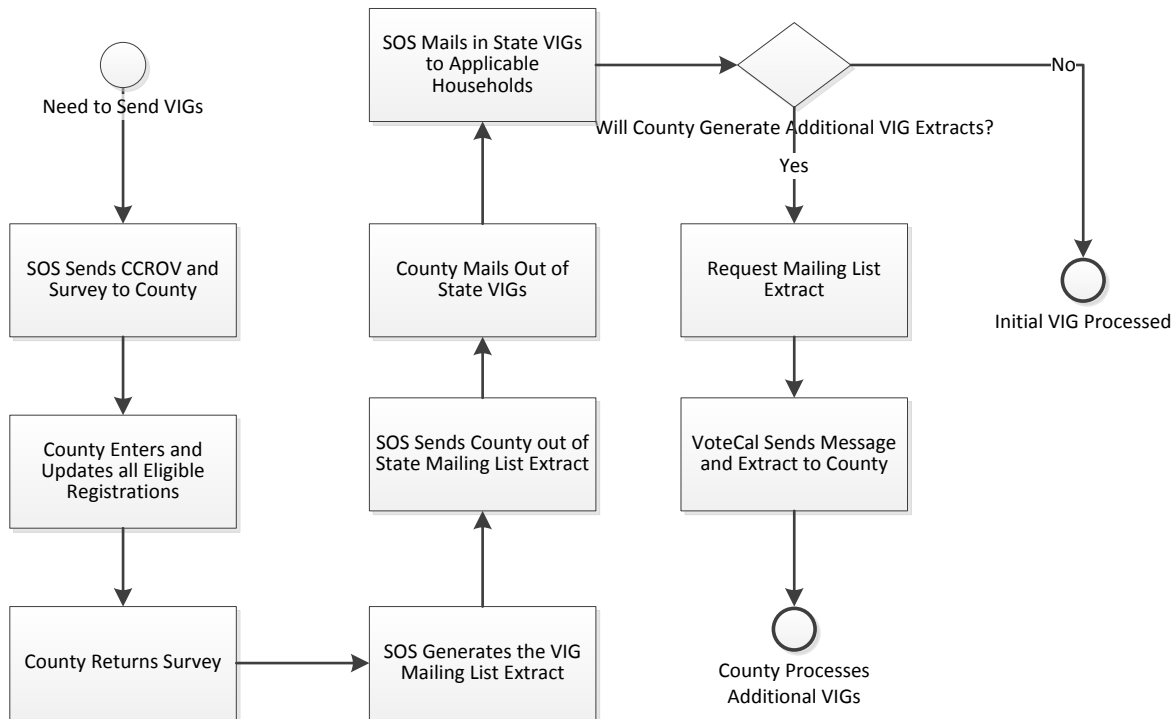


Table 1: VIG Process provides an overview of the process of preparing for and generating the mailing list extracts for the initial and additional VIG activities.

Table 1: VIG Process

ACTIVITY	PROCESS
1. SOS Sends CCROV	The SOS sends a CCROV to each county, with a request for the counties to complete a survey to signal their readiness for VIG mailings. This survey confirms that the counties have set up their elections and voters, and are ready to create the VIG mailing list extract.
2. County Prepares for VIG Mailing List Extract	The county confirms a sync check was completed for the ROR at least 30 days prior to generating any election extracts, verifies all eligible new and updated voter registrations are entered in the local EMS, and verifies that all precincts with active voters are assigned to the election.
3. County Returns Survey at E-60	The county completes the readiness survey and returns it to the SOS via email.



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ACTIVITY	PROCESS
4. SOS Generates VIG Mailing List Extract and Mails VIGs	SOS receives the county readiness survey and requests the VIG mailing list extract from VoteCal. ITD formats the extract into four files and sends the error, cleansed, and out-of-state files to the appropriate counties. SOS mails VIGs to registered voter households residing in California. Note: Confidential voters do not appear in this extract. Counties are responsible for mailing VIG to confidential voters.
5. County Mails Out-of-State VIGs	The county receives out-of-state voter VIG mailing list extract from the SOS at approximately E-50 and the county mails VIGs to voters residing outside of California. Note: Confidential voters do not appear in this extract. Counties are responsible for mailing VIG to confidential voters.
6. SOS Generates Additional VIG Mailing List Extract and Mails VIGs	On E-29, SOS requests the additional VIG mailing list extract from VoteCal for voters who registered between E-59 and E-29. This extract will include four files 1) error, 2) cleansed, 3) out-of-state, and 4) in-state mailing file which will be sent to the appropriate counties. SOS mails VIGs to registered voter households residing in California. Note: Confidential voters do not appear in this extract. Counties are responsible for mailing VIG to confidential voters.
7. County Requests Additional VIG Mailing List Extract	If the county decides to send additional VIG mailings between E-50 and E-29, the county requests the VIG mailing list extract through their EMS. (Review corresponding EMS Guide for detailed instructions) Note: Confidential voters are excluded by default, select "Include Confidential Voters" if they should appear on the VIG Extract. Potential error messages you may receive: <ul style="list-style-type: none">• XML format is not allowed for VIG extract – received if XML format is requested; this is an invalid type of extract• Parameter {0} is in the past – received if the scheduled date entered is not current or date in the future• ScheduleDateTime is equal to or after the Election Date – received if the scheduled date is the election date or later• Match not found – received if a matching election is not found• County {0} not authorized to access County {1} data – received if user is attempting to request an extract for another county• VIG is {0} days prior to the election {1} - {2} – received if attempting to request an extract too close to the election; there will be a pre-determined number of days set by SOS• Missing value for parameter {0} – received if attempting to select an incorrect election ID



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ACTIVITY	PROCESS
7. County Requests Additional VIG Mailing List Extract (continued)	<ul style="list-style-type: none">• Missing value for parameter {0} – received if attempting to select an initial VIG mailing list extract because only SOS can the initial VIG mailing extract• County cannot request an initial VIG – received if county attempts to request an initial VIG,• County cannot request another county VIG – received if the county attempts to request an extract for another county• The {0} field value of {1}.{2} is not valid for this type of extract – received if the value for file format is not valid <p>The additional VIG mailing list extract contains active registered voters not included in any previous VIG mailing extracts for the election.</p> <p>An additional VIG cannot be generated until after the initial VIG mailing extract has been completed for an election.</p>
8. County Mails VIG	VoteCal sends a message to the EMS, “Extract Files Generated” and sends a file with the mailing list. Using the county EMS, access the extract and process and mail VIGs. (Review corresponding EMS Guide for detailed instructions.)

VoteCal Contact Information

For questions or to report issues, contact the SOS VoteCal Help Desk at 888-868-3225 or by email at VoteCalHelp@sos.ca.gov.